

Standard State Mitigation Plan Review and Approval Status

State Requirement		
State Plan Reviewed by:	Title:	Date:
State Plan Submitted by:	Title:	Date:

FEMA Requirement		
FEMA Reviewer:	Title:	Date:
Sharon Loper		August 15, 2003
Date Received in FEMA Region [insert #]		
Plan Not Approved		
Plan Approved		
Date Approved		

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[STATE NAME] STATE MITIGATION PLAN SUMMARY WORKSHEET

The plan cannot be reviewed if the prerequisite is not met.

All criteria must receive a score of “**Satisfactory**” or “**Outstanding**” for the plan to receive FEMA approval. A less than “Satisfactory” score on subsections highlighted in gray will not preclude the plan from passing. Reviewer’s comments must be provided for requirements receiving a “**Needs Improvement**” score.

SCORING SYSTEM

Please check one of the following for each requirement

U – Unsatisfactory: The plan does not address the criteria.

N – Needs Improvement: The plan addresses the criteria, but needs significant improvement.
Reviewer’s comments must be provided.

S – Satisfactory: The plan meets the minimum criteria. Reviewer’s comments are encouraged, but not required.

O – Outstanding: The plan exceeds the minimum criteria. Reviewer’s comments are encouraged, but not required.

Prerequisite

Adoption by the State: §201.4 (c) (6) and § 201.4 (c) (7)

NOT MET	MET

Planning Process

Documentation of Planning Process: §201.4(c)(1)

N	S

Coordination Among Agencies: §201.4(b)

Integration with Other Planning Efforts: §201.4(b)

Risk Assessment

Identifying Hazards: §201.4(c)(2)(i)

Profiling Hazard Events: §201.4(c)(2)(i)

Assessing Vulnerability by Jurisdiction:
§201.4(c)(2) (ii)

Assessing Vulnerability of State Facilities:
§201.4(c)(2) (ii)

Estimating Potential Losses by Jurisdiction:
§201.4(c)(2) (iii)

Estimating Potential Losses of State Facilities:
§201.4(c)(2) (iii)

N	S

Mitigation Strategy

Hazard Mitigation Goals: §201.4(c)(3) (i)

State Capability Assessment: §201.4(c)(3) (ii)

Local Capability Assessment: §201.4(c)(3) (ii)

Mitigation Measures: §201.4(c)(3) (iii)

Funding Sources: §201.4(c)(3) (iv)

N	S

Coordination of Local Mitigation Planning

Local Funding and Technical Assistance:
§201.4(c)(4)(i)

Local Plan Integration: §201.4(c)(4)(ii)

Prioritizing Local Assistance: §201.4(c)(4)(iii)

N	S

Plan Maintenance Procedures

Monitoring, Evaluating, and Updating the Plan:
§201.4(c)(5)(i)

Monitoring Progress of Mitigation Activities:
§201.4(c)(5) (ii) and (iii)

N	S

STANDARD STATE MITIGATION PLAN APPROVAL STATUS

PLAN NOT APPROVED ☐ X

PLAN APPROVED ☐

See Reviewer’s Comments

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PLAN REVIEW CRITERIA REFERENCE (SECTION PAGE #)	REQUIREMENT AS TAKEN FROM THE INTERIM FINAL RULE PART 201	LOCATION IN THE PLAN (INDICATE SECTION OR ANNEX AND PAGE #)	SCORE / FEMA REVIEWER COMMENTS <u>SCORING SYSTEM</u> MET/NOT MET (FOR PREREQUISITE ONLY) S--SATISFACTORY N--NEEDS IMPROVEMENT
PREREQUISITE (1-1)			<i>NOTE: This prerequisite must be met before the plan can be approved.</i>
Adoption by the State (1-2)	Requirement § 201.4 (c) (6) and § 201.4 (c) (7): The plan must: <ul style="list-style-type: none"> ▪ be formally adopted by the State prior to submittal to [FEMA] for final review and approval [and] ▪ include assurances that the State will comply with all applicable Federal statutes and regulations in effect with respect to the periods for which it receives grant funding, in compliance with §13.11(c). The State will amend its plan whenever necessary to reflect changes in State or Federal laws and statutes as required in §13.11(d). 		N Plan has not been formally adopted by the State. No assurances that state will comply with Federal stat/regs or will amend plan whenever necessary to reflect changes in State or Federal laws/statutes.

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Planning Process (1-5)			
Documentation of the Planning Process (1-6)	Requirement §201.4(c)(1): [The plan must include a] description of the planning process used to develop the plan, including how it was prepared, who was involved in the process, and how other agencies participated.		N Plan does not includes description of planning process used to develop the plan. No information on how prepared, who was involved in preparation, and how other agencies participated.
Coordination Among Agencies (1-8)	Requirement §201.4(b): The mitigation planning process should include coordination with other State agencies, appropriate Federal agencies, [and] interested groups...		N Criteria not required. Plan describes DPC (Disaster Policy Council). Description does not indicate their involvement in the plan development. Since DPC includes representatives from other state agencies, DPC could be an important partner in the planning process and method of obtaining other agency participation.
Integration With Other Planning Efforts (1-12)	Requirement §201.4(b): ...[The Standard State Plan should] be integrated to the extent possible with other ongoing State planning efforts as well as other FEMA mitigation programs and initiatives.		N Criteria not required.

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Risk Assessment (1-15)			
Identifying Hazards (1-16)	Requirement §201.4(c)(2)(i): [The risk assessment shall include an] overview of the type ... of all natural hazards that can affect the State...	Chapter 4 plus Annex A-M;	S Plan contains overview of the types of natural hazards – “Hazard Characterization” -- in each Annex (flood, wildland fire, earthquake, volcano, snow avalanche, tsunami). Plan identifies other hazards to be addresses in the future (e.g., drought, economic).
Profiling Hazard Events (1-20)	Requirement §201.4(c)(2)(i): [The risk assessment shall include an] overview of the location of all natural hazards that can affect the State, including information on previous occurrences of hazard events as well as the probability of future hazard events, using maps where appropriate.	Hazard Matrix, pg. 12	N LOCATION (S Score): Hazard Matrix provides an overview of location (borough or census area) based on future probability. Most hazard annex include maps and general descriptions of locations of natural hazards. PREVIOUS OCCURRENCES (N Score): Information not found in all natural hazards annex. When included, information in anecdotal rather than providing either number and dates of past events or information that could be used to understand the magnitude of past events (size and quantity) as an overview. Example methods to meet requirement -- use of a system similar to Hazard Matrix or a chart of past occurrences in each Annex. Probability (S Score): Plan contains a Hazard Matrix that identified hazard probability for various types of hazards by borough/census area.

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Assessing Vulnerability by Jurisdiction (1 - 24)	Requirement §201.4(c)(2) (ii): [The risk assessment shall include] an overview and analysis of the State's vulnerability to the hazards described in this paragraph (c)(2), based on estimates provided in local risk assessments... The State shall describe vulnerability in terms of the jurisdictions most threatened by the identified hazards, and most vulnerable to damage and loss associated with hazard events...	Hazard Matrix	N The plan's Hazard Matrix provides some information on the jurisdictions must threatened and each hazard annex provides some information on high risk jurisdictions. There is not enough information to provide an overview and analysis of the most vulnerable areas by jurisdictions. Plan also needs to address how local risk assessments were used to develop the estimates. If local risk assessments are not yet available, information needs to provide the process in which they will be used as the information is developed.
Assessing Vulnerability of State Facilities (1 - 28)	Requirement §201.4(c)(2) (ii): [The risk assessment shall include an] overview and analysis of the State's vulnerability to the hazards described in this paragraph (c)(2), based on estimates provided in ...the State risk assessment. ...State owned critical or operated facilities located in the identified hazard areas shall also be addressed...		N Information is not included on the natural hazard risks to state owned critical or operated facilities. The information must also include the identified hazard areas.

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Estimating Potential Losses by Jurisdiction (1 - 30)	Requirement §201.4(c)(2) (iii): [The risk assessment shall include an] overview and analysis of potential losses to identified vulnerable structures, based on estimates provided in local risk assessments...		N Overview/analysis of potential losses to identified vulnerable structures, based on estimates provided in local risk assessments. If local risk assessments not yet available, the plan must describe how the plan will performed an overview/analysis of losses to vulnerable structures as local risk assessment are completed.
Estimating Potential Losses of State facilities (1-32)	Requirement §201.4(c)(2) (iii): [The risk assessment shall include the following:]...[a]n overview and analysis of potential losses to identified vulnerable structures, based on estimates provided in ...the State risk assessment. The State shall estimate the potential dollar losses to State-owned or operated buildings, infrastructure, and critical facilities located in the identified hazard areas.		N Information not included.

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Mitigation Strategy (1-35)			
Hazard Mitigation Goals (1-36)	Requirement §201.4(c)(3) (i): [The mitigation strategy shall include] a description of State goals to guide the selection of activities to mitigate and reduce potential losses.	Section 1, p. 1 & in each Hazard Annex	S The plan identifies four primary goals of hazard mitigation – minimize loss of life/injuries, minimize damage, facilitate restoration of public facilities and promote economic development. The plan also identifies the general measures the plan will include to address the four primary goals.

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State Capability Assessment (1-40)	Requirement §201.4(c)(3) (ii): [The State mitigation strategy shall include] a discussion of the State's pre-and post-disaster hazard management policies, programs, and capabilities to mitigate the hazards in the area, including: <ul style="list-style-type: none"> • An evaluation of State laws, regulations, policies, and programs related to hazard mitigation as well as to development in hazard-prone areas; [and] • A discussion of State funding capabilities for hazard mitigation projects. 	Annex A-M "Existing Programs and Strategies"	N The "Existing Programs and Strategies" provides a brief general description of major programs. The descriptions need to include an evaluation of the various programs. In addition to programs, the plan must include information on "State laws, regulations, policies." Some information on development in hazard prone areas is interweave into the document. However, it does not provide a clear assessment of the state capability to address the development in hazard prone area. The plan should explain any state and local limitations to addressing development in hazard-prone areas – e.g., due to limited size of government entities and vast areas. A discussion of the State funding capability of hazard mitigation projects was not included in the plan.
Local Capability Assessment (1-44)	Requirement §201.4(c)(3) (ii): [The State mitigation strategy shall include]: a general description and analysis of the effectiveness of local mitigation policies, programs, and capabilities.		N The plan needs an assessment of the effectiveness of local mitigation policies, programs and capabilities.

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Mitigation Measures (1-48)	Requirement §201.4(c)(3) (iii): State plans shall include] an identification, evaluation, and prioritization of cost-effective, environmentally sound, and technically feasible mitigation actions and activities the State is considering and an explanation of how each activity contributes to the overall mitigation strategy. This section should be linked to local plans, where specific local actions and projects are identified	Hazard Annex A-M	N Identification of mitigation measures (termed “goals” and “objectives” in the annex) are provided. The evaluation would be sufficient if each mitigation goal/objective includes a paragraph explaining/evaluating the measure (as was done for some of the goals/objectives). Prioritization is provided as High, Medium, and Low Priority. An explanation of who and how these prioritizations were determined is needed. The prioritization process should also include how “cost-effective, environmental, and technical feasibilities” issues were incorporated into the prioritization process. The plan must include an explanation of how local actions/projects will be linked to from the local plans to the state plan.

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Funding Sources (1-52)	Requirement §201.4(c)(3) (iv): [The State mitigation strategy shall include] [i]dentification of current and potential sources of Federal, State, local, or private funding to implement mitigation activities.		Appendix 21,22,23, and 30 – may contribute to this criteria, but that determination can not be made until these Appendix are reviewed. Current and potential sources must be included. The sources should be part of the mitigation strategy.
Local Mitigation Planning Coordination (1-55)			
Local Funding and Technical Assistance (1 - 56)	Requirement §201.4(c)(4)(i): [The section must include a] description of the State process to support, through funding and technical assistance, the development of local mitigation plans.	Page 9-10.	N Section describes the DMA requirement and process, but only one sentence on the State commitment to provide technical assistance (“The State is committed to supporting local efforts in several ways including funding (when available), training and technical support”). Additional information is need on how and who will provide the training and technical support. Section provides information on how state HMGP funds may be directed to local planning. No information is provided on other funding sources, such as Pre-disaster Mitigation Program State Planning Grant.

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Local Plan Integration (1 - 58)	Requirement §201.4(c)(4)(ii): [The section must include a] description of the State process and timeframe by which the local plans will be reviewed, coordinated, and linked to the State Mitigation Plan.	Page 9-10	N Information is not provided on process and TIMEFRAME for local plan reviews, coordination and linkage to State Mitigation Plan.
Prioritizing Local Assistance (1 - 60)	Requirement §201.4(c)(4)(iii): [The section must include] criteria for prioritizing communities and local jurisdictions that would receive planning and project grants under available funding programs which should include: <ul style="list-style-type: none"> ▪ consideration for communities with the highest risks, ▪ repetitive loss properties, and ▪ most intense development pressures. ...[For] non-planning grants, a principal criterion for prioritizing grants shall be the extent to which benefits are maximized according to a cost benefit review of proposed projects and their associated costs.		N Plan does not provide information on the State prioritization for local assistance. Information should be provided on how DPC or another process will be used to prioritize planning and project grants.

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Plan Maintenance Process (1-61)			
Monitoring, Evaluating, and Updating the Plan (1-62)	Requirement §201.4(c)(5)(i): [The Standard State plan must detail the State's] established method and schedule for monitoring, evaluating, and updating the plan.	Appendix 10	? Plan did not include information on the method and schedule for monitoring, evaluating, and updating the plan. Appendix 10 (Planning Process) was not included in the copy of the plan that was reviewed. Appendix 10 may contain the required information.
Monitoring Progress of Mitigation Activities (1-66)	Requirement §201.4(c)(5) (ii) and (iii): [The Standard State plan maintenance process must include:] <ul style="list-style-type: none"> ▪ A system for monitoring implementation of mitigation measures and project closeouts, [and] ▪ A system for reviewing progress on achieving goals as well as activities and projects in the Mitigation Strategy. 	Appendix 15	N The plan does not include information on the monitoring of selected mitigation measures and project closeouts. It also does not include a system for reviewing progress on achieving goals as well as activities and projects in the Mitigation Strategy. Including a template HMGP administration plan (Appendix 15) is not satisfactory.